

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):	Daniel C. Guterman et al.		
Title:	Novel Multi-State Memory		
Application No.:	Unassigned	Filing Date:	Herewith
Examiner:	Unassigned	Group Art Unit:	Unassigned
Docket No.:	SNDK.138USM	Conf. No.:	Unassigned

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) call(s) the documents listed on the enclosed Form PTO-1449 to the Examiner's attention in this patent application.

- ☒ Copies of the documents listed on the accompanying Form PTO-1449 are enclosed.
- ☒ Copies of the documents listed on the accompanying Form PTO-1449 that are not enclosed were previously submitted in Application No. 10/013,592, from which this Application claims an earlier effective filing date.
- ☒ This application has a filing date after June 30, 2003. Copies of the U.S. Patent(s) and U.S. Published Patent Application(s) documents listed on the accompanying Form PTO-1449 are not enclosed.

Citation of these documents shall not be construed as (1) an admission that the documents are prior art with respect to the invention or inventions claimed in this application, (2) a representation that a search has been made (other than as indicated by any cited document), or

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(3) an admission that the cited information is, or is considered to be, material to patentability as defined in § 1.56(b).

This information disclosure statement is submitted under 37 C.F.R. § 1.97(b) and consequently no fee should be required. The Commissioner is authorized, however, to charge any fee that may be required, or to credit any overpayment, against Deposit Account No. 502664. This form is being submitted in duplicate.

**EXPRESS MAIL  
LABEL NO:**

EV 437668010 US

Respectfully submitted,



Gerald P. Parsons  
Reg. No. 24,486

March 24, 2004

Date

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U.S. Department of Commerce, Patent and Trademark				Atty. Docket No.			Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.138USM			Unassigned	
				Applicant(s)			Conf. No.	
(Use several sheets if necessary)				Guterman et al.			Unassignedq	
				Filing Date			Group	
				Herewith			Unassigned	
<b>U.S. Patent Documents</b>								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
		6538923	3/25/03	Parker				
<b>U.S. Published Patent Application Documents</b>								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
<b>Foreign Patent Documents</b>								
							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
Examiner			Date Considered					
<b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.								

U.S. Department of Commerce, Patent and Trademark				Atty Docket No.			Application No.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				SNDK.138USI			Unknown	
				Applicant(s)				
(Use several sheets if necessary)				Guterman et al.				
				Filing Date			Group	
				Unknown			Unknown	
<b>U.S. Patent Documents</b>								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
		6,339,546	1/15/02	Katayama et al.				
<b>Foreign Patent Documents</b>								
							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
Examiner			Date Considered					
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FORM PT01449  
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

M-10277-3C

SERIAL NO.

UNASSIGNED

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT

Hock C. So and Sau C. Wong

FILED

October 18, 2001

GROUP

Not Assigned

## U. S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	A1 4 4 6 0 9 8 2	7/17/1984	Gee et al.			
	A2 4 6 1 2 6 3 0	9/16/1986	Rosier			
	A3 4 9 6 4 0 7 9	10/16/1990	Devin			
	A4 5 1 5 1 9 0 6	9/29/1992	Sawada			
	A5 5 1 5 7 6 2 9	10/10/1992	Sato et al.			
	A6 5 2 3 9 5 0 5	8/24/1993	Fazio et al.			
	A7 5 3 9 4 3 5 9	2/28/1995	Kowalski			
	A8 5 5 2 3 9 7 2	6/04/1996	Rashid et al.			
	A9 5 5 3 2 9 6 2	7/02/1996	Auclair et al.			
	A10 5 5 8 3 8 1 2	12/10/1996	Harari			
	A11 5 6 5 2 7 2 0	7/29/1997	Aulas et al.			
	A12 5 6 8 9 4 6 5	11/1997	Sukegawa et al.			
	A13 5 7 5 1 6 3 9	5/1998	Ohsawa			
	A14 5 7 6 1 1 2 5	6/02/1998	Himeno			
	A15 5 8 3 5 4 1 3	11/10/1998	Hurter et al.			
	A16 5 9 0 9 4 4 9	6/01/1999	So et al.			

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS.? (YES/NO)
B1 WO 9 0 1 2 4 0 0	10/18/1999	W.I.P.O.			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent pages, Etc.)

C1 Lee, E.K.F., et al., "Error Correction Technique For Multivalued MOS Memory," Electronic Letters, Vol. 27, No. 15 (July 18, 1991) pps. 1321-1323

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Sheet

U.S. Department of Commerce, Patent and Trademark Office						Atty Docket No.		Serial No.	
						M-10277-3C US		Not Assigned	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT :						Applicant(s)			
(Use several sheets if necessary)						Hock C. So, Sau C.Wong,			
						Filing Date		Group	
						October 18, 2001		Not Assigned	
U.S. Patent Documents									
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate		
		6,151,246	11/2/2000						
		5,712,815	01/1998	Bill et al.					
Foreign Patent Documents									
							Translation		
		Document	Date	Country	Class	Subclass	Yes	No	
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)									
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FORM PT01449  
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

HARI.026US5

SERIAL NO.

UNASSIGNED

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT

Daniel L. Auclair et al.

FILED

HEREWITH

GROUP

2786

## U. S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER								DATE	NAME	CLASS	SUB CLASS	FILING DATE
	A1	5	8	3	5	4	1	3		11/10/1998	Hurter et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB CLASS	TRANS.? (YES/NO)

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent pages, Etc.)


EXAMINER

DATE CONSIDERED

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FORM PT01449  
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
HARI 026US5SERIAL NO.  
09/437,078

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

## APPLICANT

Daniel L. Auclair et al.

## FILED

November 9, 1999

GROUP  
3742

## U. S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER								DATE	NAME	CLASS	SUB CLASS	FILING DATE
	A1	4	2	1	8	7	6	4		1980	Furuta et al.			
	A2	4	2	5	3	0	5	9		1981	Bell et al.			
	A3	4	4	6	0	9	8	2		1984	Gee et al.			
	A4	4	6	1	2	6	3	0		1986	Rosier			
	A5	4	7	3	3	3	9	4		1988	Giebel			
	A6	4	7	6	3	3	0	5		1988	Kuo			
	A7	4	7	7	9	2	7	2		1988	Kohda et al.			
	A8	4	7	9	9	1	9	5		1989	Iwahashi et al.			
	A9	4	8	0	9	2	3	1		1989	Shannon et al.			
	A10	5	1	2	2	9	8	5		1992	Santin			
	A11	5	1	3	2	9	3	5		1992	Ashmore, Jr.			
	A12	5	1	5	1	9	0	6		1992	Sawada			
	A13	5	1	5	7	6	2	9		1992	Sato et al.			
	A14	5	1	7	2	3	3	8		1992	Mehrotra et al.			
	A15	5	2	0	0	9	2	2		1993	Rao			
	A16	5	2	3	9	5	0	5		1993	Fazio et al.			
	A17	5	2	6	2	9	8	4		1993	Noguchi et al.			
	A18	5	2	7	8	7	9	4		1994	Tanaka et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB CLASS	TRANS.? (YES/NO)

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## INFORMATION DISCLOSURE STATEMENT

*(Use several sheets if necessary)*

**APPLICANT**

Daniel L. Auclair et al.

**FILED:**

November 9, 1999

## GROUP

3742

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS.? (YES/NO)

**EXAMINER**

DATE CONSIDERED

FORM PT01449  
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
HARI.026US3SERIAL NO.  
09/437,078

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary).

## APPLICANT

Daniel L. Auclair et al.

## FILED

November 9, 1999

## GROUP

3742

## U. S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER								DATE	NAME	CLASS	SUB CLASS	FILING DATE
	A32	4	7	0	3	1	9	6		10/27/1987	Arakawa			
	A33	5	0	6	5	3	6	4		11/12/1991	Atwood et al.			
	A34	5	1	1	9	3	3	0		6/02/1992	Tanagawa			
	A35	5	3	2	7	3	8	3		7/05/1994	Merchant et al.			
	A36	5	3	4	7	4	8	9		9/13/1994	Merchant et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB CLASS	TRANS.? (YES/NO)

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent pages, Etc.)


EXAMINER.

DATE CONSIDERED

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**Notice of References Cited**Application No.  
**09/437,078**

Applicant(s)

**Auclair et al.**Examiner  
**Emmanuel L. Moise**Group Art Unit  
**2784**

Page 1 of 1

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS
	A	5,341,334	8/1994	Maruyama	365	189.11
	B	5,675,537	8/1994	Bill et al.	365	185.22
	C	5,703,506	12/1997	Shook et al.	327	87
	D	5,717,632	2/1998	Richart et al.	365	185.01
	E					
	F					
	G					
	H					
	I					
	J					
	K					
	L					
	M					

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NO.	DATE	COUNTRY	NAME	CLASS	SUBCLASS
	N						
	O						
	P						
	Q						
	R						
	S						
	T						

**NON-PATENT DOCUMENTS**

		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
	U		
	V		
	W		
	X		

U.S. Department of Commerce, Patent and Trademark Office				Atty Docket No.		Application No.	
				M-10202-5C US		09/437,078	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Applicants			
(Use several sheets if necessary)				Daniel L. Auclair et al.			
				Filing Date		Group	
				November 9, 1999		2133	
U.S. Patent Documents							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	1	4,827,450	May 2, 1989	Kowalski			
	2	5,070,032	Dec. 3, 1991	Yuan et al.			
	3	5,200,959	Apr. 6, 1993	Gross et al.			
	4	5,270,979	Dec. 14, 1993	Harari et al.			
Foreign Patent Documents							
							Translation
		Document	Date	Country	Class	Subclass	Yes No
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
Examiner			Date Considered				
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.							

Express Mail No.: EV259164755US

U.S. Department of Commerce, Patent and Trademark Office				Atty Docket No.		Application No.	
				M-10249-14P US		10/013,592	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Applicant(s)		Confirmation No.	
(Use several sheets if necessary)				Daniel C. Guterman et al.		1251	
				Filing Date		Art Unit Group	
				November 13, 2001		2818	
U.S. Patent Documents							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	1	5,043,940	Aug. 27, 1991	Harari			
	2	5,172,338	Dec. 15, 1992	Mehrotra et al.			
	3	5,270,979	Dec. 14, 1993	Harari et al.			
	4	5,313,421	May 17, 1994	Guterman et al.			
	5	5,315,541	May 24, 1994	Harari et al.			
	6	5,430,859	Jul. 4, 1995	Norman et al.			
	7	5,434,825	Jul. 18, 1995	Harari			
	8	5,453,955	Sep. 26, 1995	Sakui et al.			
	9	5,541,886	Jul. 30, 1996	Hasbun			
	10	5,546,351	Aug. 13, 1996	Tanaka et al.			
	11	5,602,987	Feb. 11, 1997	Harari et al.			
	12	5,629,892	May 13, 1997	Tang			
	13	5,687,114	Nov. 11, 1997	Khan			
	14	6,317,363 B1	Nov. 13, 2001	Guterman et al.			
Foreign Patent Documents							
							Translation
		Document	Date	Country	Class	Subclass	Yes No
	15	JP 7287984 A	1995 Jan. 31	Japan			Abstract X
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
Examiner				Date Considered			
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p>							

Express Mail No.: EU877118100US

U.S. Department of Commerce, Patent and Trademark Office					Atty Docket No.		Application No.	
					SNDK.138USE formerly (M-10249-14P US)		10/013,592	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT					Applicants		Confirmation No.	
(Use several sheets if necessary)					Daniel C. Guterman et al.		1251	
					Filing Date		Art Unit Group	
					November 13, 2001		2818	
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	1	Re. 32,401	4/1987	Beilstein, Jr. et al.				
	2	4,074,304	2/1978	Shiba				
	3	4,151,020	4/1979	McElroy				
	4	4,151,021	4/1979	McElroy				
	5	4,184,207	1/1980	McElroy				
	6	4,202,044	5/1980	Beilstein, Jr. et al.				
	7	4,271,421	6/1981	McElroy				
	8	4,302,766	11/1981	Guterman et al.				
	9	4,331,968	5/1982	Goeney, Jr. et al.				
	10	4,380,057	4/1983	Kotecha et al.				
	11	4,456,971	6/1984	Fukuda et al.				
Foreign Patent Documents								
		Document	Date	Country	Class	Subclass	Translation	
	12	0373830	6/1990	EP			Yes	No
	13	0725403A1	8/1996	EP			X	
	14	6-1181168	8/1986	Japan				X
	15	1-304784	12/1989	Japan				X
	16	2-360	1/1990	Japan				X
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
	17	K. Naruke et al., "A New Flash-Erase EEPROM Cell with A Sidewall Select-Gate On Its Source Side", IEDM 89-603, IEEE (1989), pp. 603-606.						
	18	M. Kamiya et al., "EPROM Cell with High Gate Injection Efficiency", IEDM 82-741, IEEE (1982), p. 741-744.						
	19	J. Van Houdt, et al., "A 5-Volt-Only Fast-Programmable Flash EEPROM Cell with A Double Polysilicon Split-Gate Structure", Interuniversity Microelectronics Center (Feb. 1991).						
Examiner			Date Considered					
<p><b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p>								

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10/013,592

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Confirmation No.

(Use several sheets if necessary)

Daniel C. Guterman et al.

1251

Filing Date

Art Unit Group

November 13, 2001

2818

## U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	20	4,462,090	7/1984	Iizuka			
	21	4,488,265	12/1984	Kotecha			
	22	4,561,004	12/1985	Kuo et al.			
	23	4,575,925	3/1986	Kanbara et al.			
	24	4,583,201	4/1986	Bertin et al.			
	25	4,616,402	10/1986	Mori			
	26	4,622,656	11/1986	Kamiya et al.			
	27	4,652,897	3/1987	Okuyama et al.			
	28	4,663,827	5/1987	Nakahara			
	29	4,677,736	7/1987	Brown			
	30	4,794,565	12/1988	Wu et al.			

## Foreign Patent Documents

							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
	31	WO 97/22123	6/1997	WIPO			X	
	32	WO 90/12400	10/1990	WIPO			X	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	33	Yale Ma, et al. "A Dual-bit Split-Gate EEPROM (DSG) Cell in Contactless Array for Single-Vcc High Density Flash Memories", IEDM 94-57, IEEE (1994), pp. 57-60.
	34	G.S. Alberts et al., "Multi-Bit Storage FET EAROM Cell", G.S. IBM Technical Disclosure Bulletin, vol. 24, No. 7A (Dec.1981), pp. 3311-3314.
	35	Takeshi Nakayama, "A 5-V-only One-Transistor 256K EEPROM with Page-Mode Erase", IEEE (Aug. 1989), vol. 24, No. 4, pp. 911-915.

Examiner

Date Considered

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				November 13, 2001		2818	
U.S. Patent Documents							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	36	4,803,529	2/1989	Masuoka			
	37	4,805,142	2/1989	Bertin et al.			
	38	4,811,285	3/1989	Walker et al.			
	39	4,811,294	3/1989	Kobayashi et al.			
	40	4,821,236	4/1989	Hayashi et al.			
	41	4,862,418	8/1989	Cuppens et al.			
	42	4,943,962	7/1990	Imamiya et al.			
	43	4,990,979	2/1991	Otto			
	44	4,997,781	3/1991	Tigelaar			
	45	5,011,787	4/1991	Jeuch			
	46	5,017,515	5/1991	Gill			
Foreign Patent Documents							
		Document	Date	Country	Class	Subclass	Translation
							Yes    No
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	47	Mike McConnell, et al., "An Experimental 4-Mb Flash EEPROM with Sector Erase", IEEE (Apr. 1991), vol. 26, No. 4, pp. 484-489.					
	48	Masaki Momodomi, et al., "A 4-Mb Flash EEPROM with Tight Programmed V.sub.t Distribution", IEEE (Apr. 1991), vol. 26, No. 4, pp. 492-495.					
	49	Fujio Masuoka, et al., "A 256-kbit Flash E.sup.2 PROM Using Triple-Polysilicon Technology", IEEE (Aug. 1987)					
Examiner			Date Considered				
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p>							



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				November 13, 2001		2818	
U.S. Patent Documents							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	50	5,028,553	7/1991	Esquivel et al.			
	51	5,029,130	7/1991	Yeh			
	52	5,045,488	9/1991	Yeh			
	53	5,057,886	10/1991	Riemenschneider et al.			
	54	5,067,108	11/1991	Jenq			
	55	5,070,032	12/1991	Yuan et al.			
	56	5,081,054	1/1992	Wu et al.			
	57	5,081,056	1/1992	Mazzali et al			
	58	5,095,344	3/1992	Harari			
	59	5,147,816	9/1992	Gill et al.			
	60	5,204,841	4/1993	Chappell et al.			
Foreign Patent Documents							
		Document	Date	Country	Class	Subclass	Translation Yes      No
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)							
	61	Dumitru Cioaca, et al., "A Million-Cycle 256K EEPROM", IEEE (Oct. 1987), vol. SC-22, No. 5, pp. 684-692.					
	62	Cristiano Calligaro, et al., "A New Serial Sensing Approach for Multistorage Non-Volatile Memories", IEEE (1995), pp. 21-26.					
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U.S. Department of Commerce, Patent and Trademark Office				Atty Docket No.		Application No.	
				SNDK:138USE formerly (M-10249-14P US)		10/013,592	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Applicants		Confirmation No.	
(Use several sheets if necessary)				Daniel C. Guterman et al.		1251	
				Filing Date		Art Unit Group	
				November 13, 2001		2818	

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	65	5,225,361	7/1993	Kakiuchi et al.			
	66	5,247,485	9/1993	Ide			
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							Translation	
		Document	Date	Country	Class	Subclass	Yes	No

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Examiner	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark Office					Atty Docket No.		Application No.	
					SNDK.138USE formerly (M-10249-14P US)		10/013,592	
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					Filing Date		Art Unit Group	
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Examiner			Date Considered					
<b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.								

U.S. Department of Commerce, Patent and Trademark Office

Atty Docket No.

Application No.

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formerly (M-10249-14P US)

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Confirmation No.

(Use several sheets if necessary)

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Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark Office

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Art Unit Group

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APPLICANT(S)

Auclair et al.

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	B	4,962,322	10/09/90	Chapman	327	581	
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	D	4,733,394	03/22/88	Giebel	365	201	
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David Ton		
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\* A copy of this reference is not being furnished with this office action.  
See Manual of Patent Examining Procedure, section 707.05(a.)

**FORM PT01449**  
**(REV. 8-83)**

**U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE**

**ATTY. DOCKET NO.**

HARI.026US4

**SERIAL NO.**

09/113,800

INFORMATION DISCLOSURE STATEMENT P E

*(Use several sheets if necessary)*

**APPLICANT**

DANIEL L. AUCLAIR et al.

**FILED**

**July 8, 1998**

**GROUP**

2784

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DT	A2	4	2	5	3	0	5	9		1981	Bell et al.	714	721	
DT	A3	4	4	6	0	9	8	2		1984	Gee et al.	365	185.8	
DT	A4	4	6	1	2	6	3	0		1986	Rosier	365	201	
DT	A5	4	7	3	3	3	9	4		1988	Giebel	714	711	
DT	A6	4	7	6	3	3	0	5		1988	Kuo	365	185.22	
DT	A7	4	7	7	9	2	7	2		1988	Kohda et al.	714	721	
DT	A8	4	7	9	9	1	9	5		1989	Iwahashi et al.	365	185.21	
DT	A9	4	8	0	9	2	3	1		1989	Shannon et al.	365	201	
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DT	A11	5	1	3	2	9	3	5		1992	Ashmore, Jr.	365	185.19	
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DT	A13	5	1	5	7	6	2	9		1992	Sato et al.	365	201	
DT	A14	5	1	7	2	3	3	8		1992	Mehrotra et al.	365	185.03	
DT	A15	5	2	0	0	9	2	2		1993	Rao	365	185.09	
DT	A16	5	2	3	9	5	0	5		1993	Fazio et al.	365	185.11	
DT	A17	5	2	6	2	9	8	4		1993	Noguchi et al.	365	185.03	
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FORM PT01449  
REV. 8-83)

U.S. DEPARTMENT OF COMMERCE  
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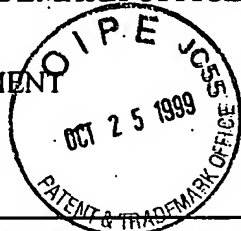
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SERIAL NO.

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INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)



APPLICANT

DANIEL L. AUCLAIR et al.

FILED

July 8, 1998

GROUP

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DT	A20 5 3 2 1 6 5 5	1994	Iwahashi et al.	365	185.21	
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DT	A24 5 4 6 5 2 3 6	1995	Naruke	365	185.21	
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DATE CONSIDERED

11/30/99

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FORM PT01449  
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE  
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ATTY. DOCKET NO.

HARI-2602

SERIAL NO.

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## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT

Daniel L. Auclair, et al.

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<i>72</i>	B	5	1	5	1	9	0	6		9/29/92	Sawada			
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<i>72</i>	D	4	7	3	3	3	9	4		3/22/88	Giebel			
<i>72</i>	E	4	4	6	0	9	8	2		7/17/84	Gee, et al.			
<i>72</i>	F	4	2	5	3	0	5	9		2/24/81	Bell, et al.			
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<i>72</i>	H	4	6	1	2	6	3	0		9/16/86	Rosier			
<i>72</i>	I	4	7	7	9	2	7	2		10/18/88	Kohda, et al.			
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		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB CLASS	TRANS. (YES/NO)

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FORM PTO-892  
(REV. 2-92)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

SERIAL NO.

GROUP ART UNIT

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PAPER  
NUMBER

08/406,677 2306

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Auclair et al.

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✓	B	5132935	7/92	Ashmore Jr.	365	185	4/16/90
✓	C	5313427	5/94	Schreck et al.	365	185	9/20/91
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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

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Auclair et al.

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FORM PTO1449  
(REV. 8-83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
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Sheet 1 of 1

SERIAL NO.  
NOT ASSIGNED 88603

APPLICANT  
DANIEL L. AUCLAIR ET AL

FILED  
May 20, 1992

GROUP  
NOT ASSIGNED 2511

INFORMATION DISCLOSURE CITATION  
(Use several sheets if necessary)  
MAY 20 1992  
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*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE
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PV	A3 4 4 6 0 9 8 2	1984	GEE ET AL	365	104X	
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DATE CONSIDERED

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FORM PTO-892 (REV. 2-92)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		SERIAL NO. <b>886030</b>	GROUP/ART UNIT <b>2511</b>	ATTACHMENT TO PAPER NUMBER	
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U.S. Department of Commerce, Patent and Trademark Office

A Docket No.

Serial No.

M-3115-1P US

Unknown

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(Use several sheets if necessary)

Applicants

Hock C. So and Sau C. Wong

Filing Date

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Date Considered

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Application No.  
09/200,220

Applicant(s)

SO ET AL.

Examiner

David Lam

Group Art Unit  
2818

Page 1 of 1

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x	B	5,909,449	6/1/99	So et al.	371	21.4
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Application/Control No.

09/680,797

Applicant(s)/Patent Under  
Reexamination  
SO ET AL

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David Lam

Art Unit

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Page 1 of 1

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\*\*APS encompasses any electronic search i.e. text, image, and Commercial Databases.

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Part of Paper No. 3



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PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
HARI.176US2SERIAL NO.  
UNASSIGNED

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

## APPLICANT

Hock C. So and Sau C. Wong

## FILED

UNASSIGNED

## GROUP

2818

## U. S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANS. (YES/NO)
<del>NOT FOUND</del> B1 WO 8 0 1 2 4 0 0	<del>10/18/1990</del>	<del>W.I.P.O.</del>			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent pages, Etc.)

<del>NOT FOUND</del>	C1	Lee, E.K.F., et al., "Error Correction Technique For Multivalued MOS Memory," <del>Electronic Letters, Vol. 27</del> No. 15 (July 18, 1991) pps. 1321-1323

EXAMINER



DATE CONSIDERED

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\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Serial No.

09/680,797

**Applicant(s)**

Hock C. So, Sau C. Wong,

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2818

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Number :

Date \_\_\_\_\_

Name

## Class

Subclass

Filing Date  
If Appropriate

### Translation

Document

Date \_\_\_\_\_

Country

## Class

Subclass

Yes<sup>1</sup>

No

**C1**

Lee, E.K.F., et al., (July 18, 1991) "Error Correction Technique for Multivalued MOS Memory," *Electronic Letters*, 27(15):1321-1323

**Examiner**

Date Considered

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# **Notice of References Cited**

Application/Control No.

09/680,797

Applicant(s)/Patent Under  
Reexamination  
SO ET AL

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David Lam.

Art Unit

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Page 1 of 1

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		Country Code-Number-Kind Code	MM-YYYY			
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	B	US- -				
	C	US- -				
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	F	US- -				
	G	US- -				
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	L	US- -				
	M	US- -				

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		Country Code-Number-Kind Code	MM-YYYY				
	N	- -					
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	R	- -					
	S	- -					
	T	- -					

## **NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
	U	
	V	
	W	
	X	

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.